
COMPLIANCE REVIEW
PRESTON YOUTH CORRECTIONAL FACILITY



Prepared by:

California Department of Corrections and Rehabilitation
Office of Audits and Compliance

Final Report

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DISCIPLINARY DECISION-MAKING SYSTEM

Division of Juvenile Justice, Temporary Departmental Order #06-72,
Sections 7300-7394 – Disciplinary Decision-Making System

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EXECUTIVE SUMMARY

The Office of Audits and Compliance, Compliance Peer Review Branch (CPRB) reviewed the Division of Juvenile Justice (DJJ) Temporary Departmental Order (TDO) 06-72 and Institutions and Camps Branch Manual (I&C Manual), Sections 7316 through 7320 and 7328 through 7374, to determine whether Preston Youth Correctional Facility (PYCF) is utilizing the DJJ Disciplinary Decision-Making System (DDMS) policy that identifies a graduated system of ward discipline designed to be administered commensurate with the seriousness of the offense.

The review period was January 1 through December 31, 2007. The CPRB reviewed various sections of the DDMS policies and procedures, including the Ward Information Network system (WIN), DDMS flowcharts, and ward field files. In addition, the CPRB reviewed a random 10 percent sample of Level 1 Violation Check Sheets on general population living units and analyzed ward field files for Parole Board Date (PBD) extension requests that exceeded twelve months. Additionally, the CPRB evaluated eight DDMS cases where a PBD extension of more than four months resulted, requiring investigation. Further, the CPRB assessed whether employees were notified of DDMS cases where the violation was reduced or dismissed. Files were evaluated against all administrative requirements pertaining to the documents contained in those files. Records were cross-referenced with the WIN system to collaborate documentation in ward files.

It was determined that PYCF is not in compliance with the I&C Manual, Sections 7320, 7338, and 7340. The findings are as follows:

- Incomplete Level 1 Violation Check Sheets.
- No investigation documented in field file or WIN.
- Incomplete documentation in DDMS field file and flowchart.

BACKGROUND

The CPRB met with the DJJ on January 15, 2008, to discuss areas of high risk. DDMS was identified as a high risk area to the Department, due to both past litigation and court mandates. Therefore, based on risk factor, the CPRB determined that DDMS would be a topic of review.

The DDMS system incorporates statutory and constitutional mandates and provides essential due process guarantees to ensure fairness and equal application. Superintendents shall ensure that ward discipline is applied and administered consistently, timely, proportionately, and in accordance with procedures provided in the DDMS system.

The specific objectives of the review were to determine whether:

- The Senior Youth Correctional Counselor's (SYCC) are storing Level 1 Violation Check Sheets for a period of two years;
- Wards that receive a Level 1 check for a one hour time-out are receiving counseling and that the intervention is documented in the unit logbook;
- Wards receiving a PBD extension that exceed 12 months in a 12-month period receive approval from the Deputy Director of the Institutions and Camps Branch;
- An investigation is conducted on all DDMS cases that result in a PBD extension of more than four months, even if the ward admits to the allegation; and
- Employees are notified by the program manager or fact finder when a violation is reduced or dismissed pertaining to battery on staff or comments or gestures of a sexual nature. The program manager or fact finder is recording the date and method by which the employee was contacted on the DDMS flowchart and in the WIN system.

For the purposes of this review; facilities were toured by members of the review team. Randomly selected staff and wards were informally interviewed regarding current practices based upon their interest and willingness to talk to the reviewers.

FINDINGS AND RECOMMENDATIONS

Finding I: Incomplete Level 1 Violation Check Sheets.

The SYCC's are storing Level 1 Violation Check Sheets for a period of two years. However, upon review CPRB determined that the Level 1 violation check sheets were not signed and dated daily;

Criteria:

TDO 06-72, Section 7320, states in part: "Review, sign and date Level 1 Violation Check Sheets daily," and "Retain Level 1 Violation Check Sheets for a period of two years."

Recommendation:

Provide training to the SYCC's on the proper method of reviewing and retaining Level 1 Violation Check Sheets.

Finding II: No investigation documented in field file or WIN.

Six of the eight (75 percent) records that resulted in a PBD extension of more than four months had no investigation documented in either the field file or the WIN system. In some cases, the field files flowcharts contained language stating behavior report stands as investigation;

Criteria:

TDO 06-72, Section 7338, states in part: "An investigation is required for all cases that may have resulted in a PBD extension of more than four months."

Recommendation:

Provide additional staff training regarding the PBD time extension procedure.

Finding III: Incomplete documentation in the field file DDMS flowchart.

There are currently six wards being housed at PYCF whose DDMS was reduced or dismissed. The CPRB reviewed all six records to determine staff notification. Per policy, staff notification is required in both the WIN system and the DDMS flowchart. The WIN system documentation was in compliance. However, the field file documentation in the DDMS flowchart was deficient for the following reasons:

- Two of the six (33 percent) DDMS flowcharts reviewed had no signature verifying that staff had been notified when a violation is reduced or dismissed pertaining to battery on staff or comments or gestures of a sexual nature.

- One of the six (16 percent) DDMS files reviewed lacked information and was determined to be user error. The dismissal was documented in the WIN, but a flowchart was not created for review.
- Two of the six (33 percent) DDMS flowcharts reviewed were missing information; therefore, the CPRB was unable to determine if staff had been notified that a violation was been reduced or dismissed.

Criteria:

TDO 06-72, Section 7340, states in part: "If the program manager or fact finder reduces or dismisses a violation pertaining to battery on staff or comments or gestures of a sexual nature, the program manager or fact finder must inform the employee of the reasons. The program manger or fact finder shall record on the DDMS flowchart and in WIN the date and method by which the employee was contacted."

Recommendation:

Provide additional staff training in relation to employee contact and the documentation required in both the WIN system and the field file DDMS flowchart.

Review of Disciplinary Decision-Making System
PRESTON YOUTH CORRECTIONAL FACILITY

GLOSSARY

CPRB	Compliance/Peer Review Branch
DDMS	Disciplinary Decision-Making System
DJJ	Division of Juvenile Justice
I&C Manual	Institution and Camps Branch Manual
PBD	Projected Board Date
PYCF	Preston Youth Correctional Facility
SYCC	Senior Youth Correctional Counselor
TDO	Temporary Departmental Order
WIN	Ward Information Network